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Marcia Russell
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Marcia Russell
Signature

May 5, 2003
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF
GORZIGLIA ET AL.
APPLICATION NO: 10/081,961
FILED: FEBRUARY 22, 2002
FOR: NOVEL VECTOR CONSTRUCTS

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Art Unit: 1653
Examiner:
Confirmation No. 2186
Atty. Docket 4-31890A

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TRANSMITTAL LETTER

Sir:

Enclosed please find the following:

- Information Disclosure Statement (1 page);
- PTO Form 1449 (23 pages), with cited references; and
- Return postcard.

Respectfully submitted,

Novartis
Corporate Intellectual Property
One Health Plaza, Bldg. 430
East Hanover, NJ 07936-1080

Douglas Golightly
Patent Agent
Reg. No. 51,244

Date: May 5, 2003



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: : Art Unit: 1653
GORZIGLIA, et al. : Examiner:
APPLICATION NO: 10/081,961 : Confirmation No. 2186
FILED: FEBRUARY 22, 2002 : Atty. Docket: 4-31890A
FOR: NOVEL VECTOR CONSTRUCTS :

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P.O. Box 1450
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INFORMATION DISCLOSURE STATEMENT

Sir:

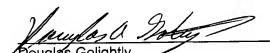
Applicant believes this paper is being filed before the mailing date of a first Office Action on the merits, and so under 37 C.F.R. §1.97(b)(3) no fees are required. If a fee is deemed to be required, the Commissioner is hereby authorized to charge such fee to Deposit Account No. 19-0134.

In accordance with 37 C.F.R. §1.56, applicant wishes to call the Examiner's attention to the references cited on the attached form(s) PTO-1449. Copies of these references are enclosed herewith.

The Examiner is requested to consider the foregoing information in relation to this application and indicate that each reference was considered by returning a copy of the initialed PTO 1449 form(s).

Respectfully submitted,

Novartis
Corporate Intellectual Property
One Health Plaza, Bldg. 430
East Hanover, NJ 07936-1080
(301) 258-4832


Douglas Golightly
Patent Agent
Reg. No. 51.244

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Sheet 1 of 23

Complete if Known

Application Number	10/081,961
Filing Date	February 22, 2002
First Named Inventor	Gorziglia
Art Unit	1653
Examiner Name	
Attorney Docket Number	4-31890A

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 10/081,969	02-22-2002	Ennist, et al.	
		US- 2001/0006633A1	07-05-2001	Kirn, D.	
		US- 5,672,344	09-30-1997	Kelley, et al.	
		US- 5,677,178	10-14-1997	McCormick, F.	
		US- 5,698,443	12-16-1997	Henderson, et al.	
		US- 5,707,618	01-13-1998	Armentano, et al.	
		US- 5,830,686	11-03-1998	Henderson, D.	
		US- 5,837,511	11-17-1998	Falck-Pedersen, et a	
		US- 5,871,726	02-16-1999	Henderson, et al.	
		US- 5,994,128	11-30-1999	Fallaux, et al.	
		US- 5,998,205	12-07-1999	Hallenbeck, et al.	
		US- 6,057,299	05-02-2000	Henderson, D.	
		US- 6,136,792	10-24-2000	Henderson, D.	
		US- 6,197,293B1	03-06-2001	Henderson, et al.	
		US- 6,254,862B1	07-03-2001	Little, et al.	
		US- 6,271,207B1	08-07-2001	Cristiano, et al.	
		US- 6,297,219B1	10-02-2001	Nabel, et al.	
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FOREIGN PATENT DOCUMENTS

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		Country Code ³ , Number ⁴ , Kind Code ⁵ (if known)				
		WO 92/03563	03-05-1992			
		WO 94/18992	09-01-1994			
		WO 95/19434	07-20-1995			
		WO 96/34969	11-07-1996			
		WO 97/01358	01-16-1997			
		WO 97/04805	02-13-1997			

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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	10/081,961
Filing Date	February 22, 2002
First Named Inventor	Gorziglia
Art Unit	1653
Examiner Name	
Attorney Docket Number	4-31890

Sheet	3	of	23
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U. S. PATENT DOCUMENTS

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		Country Code* Number* Kind Code* (if known)				
		WO 98/39466	09-11-1998			
		WO 98/39467	09-11-1998			
		WO 99/06576	02-11-1999			
		WO 99/28469	06-10-1999			
		WO 99/55831	11-04-1999			
		WO 99/59604	11-25-1999			

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Translating is attached.

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FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No.†	Foreign Parent Document Country Code* Number* Kind Code* (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	†*
		WO 00/03029	01-20-2000			
		WO 00/15820	03-23-2000			
		WO 00/22124	04-20-2000			
		WO 00/29599	05-25-2000			
		WO 00/31286	06-02-2000			
		WO 00/39319	06-06-2000			

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Sheet	6	of	23
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ²
		Country Code* Number * Kind Code* (if known)	MM-DD-YYYY			
		WO 01/04282	01-18-2001			
		WO 01/04334	01-18-2001			
		WO 01/23004	04-05-2001			
		WO 01/36650	05-25-2001			
		WO 01/72341	10-04-2001			
		WO 01/73093	10-04-2001			

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Application Number	10/081,961
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Attorney Docket Number	4-31890A

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NON PATENT LITERATURE DOCUMENTS

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		ADAMS, et al., "Transcriptional Control by E2F," Seminars in Cancer Biology, 6:99-108 (1995)	
		ALEMANY, et al., "Replicative Adenoviruses for Cancer Therapy," Nature Biotechnology, 18:723-727 (July 2000)	
		ANGELICHIO, et al., "Comparison of Several Promoters and Polyadenylation Signals for Use in Heterologous Gene Expression in Cultured Drosophila Cells," Nucleic Acids Research, 19(18):5037-5043 (1991)	
		ARMITAGE, J., "Emerging Applications of Recombinant Human Granulocyte-Macrophage Colony-Stimulating Factor," Blood, 92(12):4491-4508 (December 15, 1998)	
		BABISS, et al., "Cellular Promoters Incorporated into the Adenovirus Genome: Effects of Viral Regulatory Elements on Transcription Rates and Cell Specificity of Albumin and Beta-Globin Promoters," Molecular and Cellular Biology, 6(11):3798-3806 (November 1986)	
		BERGSLAND, et al., "Shedding Old Paradigms: Developing Viruses to Treat Cancer," Journal of Clinical Oncology, 20(9):2220-2222 (May 1, 2002)	
		BERT, et al., "Generation of an Improved Luciferase Reporter Gene Plasmid that Employs a Novel Mechanism for High-Copy Replication," Plasmid, 44:173-182 (September 2000)	
		BLACK, et al., "Regulation of E2F: A Family of Transcription Factors Involved in Proliferation Control," Gene, 237:281-302 (1999)	
		BRISTOL, et al., "GM-CSF Containing Oncolytic Adenoviruses for the Treatment of Cancer," Abstract No. P2, presented at The 10th Annual Meeting of the European Society for Gene Therapy, Antibes, France, October 13-16, 2002	
		BRISTOL, et al., "GM-CSF Mediated Stimulation of Innate Anti-tumor Responses," poster presented at the Keystone Symposia, Basic Aspects of Tumor Immunology, February 17-23, 2003	

Examiner Signature	Date Considered
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Sheet 9

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		BRISTOL, et al., "GM-CSF Containing Oncolytic Adenoviruses for the Treatment of Cancer," poster presented at The 10th Annual Meeting of the European Society for Gene Therapy, Antibes, France, October 13-16, 2002	
		BRISTOL, et al., "In Vivo Anti-Tumor Activity of Oncolytic Adenoviruses that Express GM-CSF in Xenograft Tumor Models," American Society for Gene Therapy, 5th Annual Meeting, June 5-9, 2002; poster presented June 6, 2002	
		BRISTOL, et al., "In Vivo Anti-Tumor Activity of Oncolytic Adenoviruses that Express GM-CSF in Xenograft Tumor Models," Molecular Therapy, 5(5):abstract No. 311 (May 2002)	
		BRUDER, et al., "Nuclear Factor E1A Binds to the Adenovirus E1A Core Enhancer Element and to Other Transcriptional Control Regions," Molecular and Cellular Biology, 9(11):5143-5153 (November 1989)	
		BRYAN, et al., "Evidence for an Alternative Mechanism for Maintaining Telomere Length in Human Tumors and Tumor-derived Cell Lines," Nature Medicine, 3(11):1271-1274 (November 1997)	
		CHANG, et al., "Immunogenetic Therapy of Human Melanoma Utilizing Autologous Tumor Cells Transduced to Secrete Granulocyte-Macrophage Colony-Stimulating Factor," Human Gene Therapy, 11:839-850 (April 10, 2000)	
		CHAO, et al., "Assembly of the Cleavage and Polyadenylation Apparatus Requires About 10 Seconds In Vivo and Is Faster for Strong Than for Weak Poly(A) Sites," Molecular and Cellular Biology, 19(8):5588-5600 (August 1999)	
		CHEN, et al., "Antiangiogenic Gene Therapy for Cancer via Systemic Administration of Adenoviral Vectors Expressing Secreted Endostatin," Human Gene Therapy, 11:1983-1996 (September 20, 2000)	
		CHEN, et al., "Cleavage Site Determinants in the Mammalian Polyadenylation Signal," Nucleic Acids Research, 23(14):2614-2620 (1995)	
		CHIA, et al., "A Novel Conditionally Oncolytic Adenovirus for the Treatment of Nasopharyngeal Carcinoma (NPC)," Proceedings of the American Association for Cancer Research, 43:1098-1099, abstract No. 5441 (March 2002)	

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Sheet 10 of 23

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Attorney Docket Number 4-31890A

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NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		CHIOCCA, E., "Oncolytic Viruses," Nature, 2:938-950 (December 2002)	
		CHRIST, et al., "Modulation of the Inflammatory Properties and Hepatotoxicity of Recombinant Adenovirus Vectors by the Viral E4 Gene Products," Human Gene Therapy, 11:415-427 (February 10, 2000)	
		COLGAN, et al., "Mechanism and Regulation of mRNA Polyadenylation," Genes and Development, 11:2755-2766 (1997)	
		CURIEL, et al., "Strategies to Improve the Therapeutic Utility of Conditionally Replicative Adenoviruses (CRADs) for Cancer Therapy," Proceedings of the American Association for Cancer Research, 43:662, abstract No. 3287 (March 2002)	
		DEMERS, et al., "Antitumor Efficacy and Replication of an Oncolytic Adenovirus, 01/PEME, in Tumor Tissue Following Intravenous Administration," Proceedings of the American Association for Cancer Research, 43:663, abstract No. 3291 (March 2002)	
		DENOME, et al., "Patterns of Polyadenylation Site Selection in Gene Constructs Containing Multiple Polyadenylation Signals," Molecular and Cellular Biology, 8(11):4829-4839 (November 1988)	
		DeWeese, et al., "A Phase I Trial of CV706, a Replication-Competent, PSA Selective Oncolytic Adenovirus, for the Treatment of Locally Recurrent Prostate Cancer Following Radiation Therapy," Cancer Research, 61:7464-7472 (October 15, 2001)	
		DORONIN, et al., "Tissue-Specific, Tumor-Selective, Replication-Competent Adenovirus Vector for Cancer Gene Therapy," Journal of Virology, 75(7):3314-3324 (April 2001)	
		DORONIN, et al., "Tumor-Specific, Replication-Competent Adenovirus Vectors Overexpressing the Adenovirus Death Protein," Journal of Virology, 74(13):6147-6155 (July 2000)	
		DRANOFF, et al., "Vaccination with Irradiated Tumor Cells Engineered to Secrete Murine Granulocyte-Macrophage Colony-Stimulating Factor Stimulates Potent, Specific, and Long-Lasting Anti-Tumor Immunity," Proc. Natl. Acad. Sci. USA, 90:3539-3543 (April 1993)	

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Application Number	10/081,961
Filing Date	February 22, 2002
First Named Inventor	Gorziglia
Art Unit	1653
Examiner Name	
Attorney Docket Number	4-31890A

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		DYSON, N., "The Regulation of E2F by pRB-family Proteins," Genes and Development, 12:2245-2262 (August 1998)	
		EMERY, et al., "A Chromatin Insulator Protects Retrovirus Vectors from Chromosomal Position Effects," Proc. Natl. Acad. Sci. USA, 97(16):9150-9155 (August 1, 2000)	
		ENNST, D., "Oncolytic Adenoviruses Containing GM-CSF for the Treatment of Cancer," oral presentation at the 4th International Conference, The Adjuvant Therapy of Malignant Melanoma, March 15-16, 2002	
		ENNST, D., "Oncolytic Adenoviruses Containing GM-CSF for the Treatment of Cancer," abstract presented at the 4th International Conference, The Adjuvant Therapy of Malignant Melanoma, March 15-16, 2002	
		ENNST, et al., "Oncolytic Adenoviruses Containing GM-CSF for the Treatment of Cancer," Proceedings of the American Association for Cancer Research, 43:1098, abstract No. 5437 (March 2002)	
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		HALLENBECK, et al., "Oncolytic Adenoviruses Dependent Upon Two Prevalent Alterations in Human Cancer; Disregulation of the RB-Pathway and Telomerase," Molecular Therapy, 5(5):Abstract 165 (May 2002)	
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		HANS, et al., "Functionally Significant Secondary Structure of the Simian Virus 40 Late Polyadenylation Signal," Molecular and Cellular Biology, 20(8):2926-2932 (April 2000)	
		HATFIELD, et al., "Redundant Elements in the Adenovirus Type 5 Inverted Terminal Repeat Promote Bidirectional Transcription In Vitro and Are Important for Virus Growth In Vivo," Virology, 184:265-276 (1991)	

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		HATFIELD, et al., "The NFII/OCT-1 Binding Site Stimulates Adenovirus DNA Replication In Vivo and Is Functionally Redundant with Adjacent Sequences," Journal of Virology, 67(7):3931-3939 (July 1993)	
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		HIYAMA, et al., "Telomerase Activity in Small-Cell and Non-Small-Cell Lung Cancers," Journal of the National Cancer Institute, 87(12):895-902 (June 21, 1995)	
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		International Search Report for PCT/US02/05280, February 14, 2003	
		JAFFEE, et al., "Novel Allogeneic Granulocyte-Macrophage Colony-Stimulating Factor-Secreting Tumor Vaccine for Pancreatic Cancer: A Phase I Trial of Safety and Immune Activation," Journal of Clinical Oncology, 19(1):145-156 (January 1, 2001)	
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		JAKUBCZAK, et al., "Evaluation of In Vivo Selectivity of Oncolytic Adenoviruses Following Intravenous Administration in SCID Mice Using Toxicological and Molecular Parameters," American Society of Gene Therapy, 5th Annual Meeting, June 5-9, 2002; poster presented June 7, 2002	
		JAKUBCZAK, et al., "Evaluation of In Vivo Selectivity of Oncolytic Adenoviruses Following Intravenous Administration in SCID Mice Using Toxicological and Molecular Parameters," Molecular Therapy, 5(5):abstract No. 851 (March 2002)	
		JAKUBCZAK, J., "An Oncolytic Adenovirus Dependent Upon Two Prevalent Alterations in Human Cancer: Disregulation of the Rb-Pathway and Telomerase," oral presentation presented at the US-Japan Cooperative Cancer Research Program, Telomeres and Telomerase in Cancer Research, Maui, HI, August 3-5, 2002	
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		JOHNSON, et al., "Selectively Replicating Adenoviruses Targeting Deregulated E2F Activity are Potent, Systemic Antitumor Agents," Cancer Cell, 1:325-337 (May 2002)	

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		KIRSCHWEGER, G., "Genetic Therapies, Inc.: Tight-Lipped for Now," Molecular Therapy, 7(3):293 (March 2003)	

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		LIU, et al., "Optimised Oncolytic Herpes Simplex Virus for Cancer Treatment," Abstract No. Or33, presented at The 10th Annual Meeting of the European Society for Gene Therapy, Antibes, France, October 13-16, 2002	
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Sheet 18 of 23

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Application Number 10/081,961
Filing Date February 22, 2002
First Named Inventor Gorziglia
Art Unit 1653
Examiner Name
Attorney Docket Number 4-31890A

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Application Number	10/081,961
Filing Date	February 22, 2002
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		SANCHEZ-PRieto, et al., "Lack of Correlation Between p53 Protein Level and Sensitivity to DNA-damaging Agents in Keratinocytes Carrying Adenovirus E1a Mutants," <i>Oncogene</i> , 11:675-682 (1995)	
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Sheet 21 of 23

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Application Number 10/081,961
Filing Date February 22, 2002
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Art Unit 1653
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		STEWART, et al., "OAV001, an Oncolytic Adenovirus Dependent on Rb-Pathway Alterations in Human Cancer," American Society for Gene Therapy, 5th Annual Meeting, June 5-9, 2002; oral presentation presented June 7, 2002	
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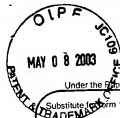
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Application Number	10/081,961
Filing Date	February 22, 2002
First Named Inventor	Gorziglia
Art Unit	1653
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		YU, et al., "The Addition of Adenovirus Type 5 Region E3 Enables Calydon Virus 787 to Eliminate Distant Prostate Tumor Xenografts," Cancer Research, 59:4200-4203 (September 1, 1999)	

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Sheet 23 of 23

Application Number 10/081,961

Filing Date February 22, 2002

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Art Unit 1653

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